

"Express Mail" mailing label number EV 327128009 US.  
Date of Deposit November 14, 2003

Case No. 4672/310

## PATENT APPLICATION TRANSMITTAL LETTER

To the Commissioner for Patents:

Transmitted herewith for filing is the patent application of: James Farrell, James Krause, and Mazen Chadid, for: SYSTEM AND METHOD FOR CONTROLLING MARKETS DURING A STOP LOSS TRIGGER. Enclosed are:

- ☒ 5 sheet(s) of drawings (figures 1-5), 42 pages of application (including title page), and the following Appendices: None
- ☒ Declaration.
- ☒ Power of Attorney.
- ☐ Applicant claims small entity status. See 37 CFR 1.27.
- ☒ Assignment transmittal letter and Assignment of the invention to: Chicago Mercantile Exchange, Inc.
- ☒ Nonpublication Request Under 35 U.S.C. 122(b)(2)(B)(i).



Claims as Filed			Small Entity		or	Other Than Small Entity	
For	Col. 1	Col. 2	Rate	Fee		Rate	Fee
Basic Fee	No. Filed	No. Extra		\$ 385	or		\$ 770
Total Claims	28-20	8	x\$9=	\$	or	8x\$18=	\$36
Indep. Claims	5-3	2	x\$43=	\$	or	2x\$86=	\$172
Multiple Dependent Claims Present			+\$145=	\$	or	+\$290=	\$
*If the difference in col. 1 is less than zero, enter "0" in col. 2.			Total	\$	or	Total	\$978

- ☐ Please charge my Deposit Account No. 23-1925 in the amount of \$: \_\_\_\_\_. A duplicate copy of this sheet is enclosed.
- ☒ A check in the amount of \$: 978.00 to cover the filing fee is enclosed.
- ☒ A check in the amount of \$: 40.00 to cover the recordation of assignment fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.
- ☒ Any additional filing fees required under 37 CFR § 1.16.
- ☒ Any patent application processing fees under 37 CFR § 1.17.
- ☐ The Commissioner is hereby authorized to charge payment of the following fees during the pendency of this application or credit any overpayment to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.
- ☐ Any filing fees under 37 CFR § 1.16 for presentation of extra claims.
- ☐ Any patent application processing fees under 37 CFR § 1.17.
- ☐ The issue fee set in 37 CFR § 1.18 at or before mailing of the Notice of Allowance, pursuant to 37 CFR § 1.311(b).

November 14, 2003  
Date

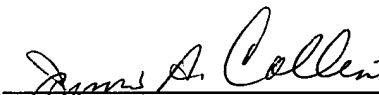
James A. Collins  
James A. Collins  
BRINKS HOFER GILSON & LIONE  
Registration No. 43,557  
Customer No. Brinks Hofer Gilson & Lione 00757

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>NONPUBLICATION REQUEST UNDER 35 U.S.C. 122(b)(2)(B)(i)</b>	First Named Inventor	James Farrell, et al.
	Title	METHOD AND SYSTEM FOR CONTROLLING MARKETS DURING A STOP LOSS TRIGGER
	Atty Docket Number	4672/310

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

November 14, 2003  
Date

  
Signature

James A. Collins, Reg. No. 43,557  
Typed or Printed Name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**